

Application No. 09/250,529 Filing Date: 09/20/01 BSTZ Docket # 42238P066 Any Sec. RWB/DLF/rch  
 Date Mailed: 12/17/2001 Docket Due Date(s): 12/20/2001 Clerk: Yoonah Electronics Corporation  
 Title: ANALOG/DIGITAL RECORDING AND PLAYBACK SYSTEM AND RELATED METHOD  
 Inventor(s): Hsiannan Chang  
 The following has been received in the U.S. Patent & Trademark Office on the date stamped herein:

<input type="checkbox"/> Amendment ( <u>1</u> pgs)	<input checked="" type="checkbox"/> Information Disclosure Statement & PTO/ISA/08 ( <u>1</u> pgs)
<input type="checkbox"/> Appeal Brief & two copies ( <u>  </u> pgs)	<input type="checkbox"/> Issue Fee Transmittal (original & copy)
<input type="checkbox"/> Application ( <u>  </u> pages w/ cover & abstract)	<input type="checkbox"/> Notice of Appeal
<input type="checkbox"/> Assignment & Cover Sheet ( <u>  </u> pgs)	<input type="checkbox"/> Petition for
<input type="checkbox"/> Certificate of Mailing	<input type="checkbox"/> Request for Continued Examination (RCE)
<input type="checkbox"/> Continued Prosecution Application (CPA)	<input type="checkbox"/> Reply Brief ( <u>  </u> pgs)
<input type="checkbox"/> Declaration & PDA ( <u>  </u> pgs)	<input type="checkbox"/> Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i)
<input type="checkbox"/> Drawings ( <u>  </u> sheets, <u>  </u> figures)	<input type="checkbox"/> Request to Reopen Previous Nonpublication Request
<input type="checkbox"/> Express Mail No. <u>  </u>	<input type="checkbox"/> Response to Notice of Missing Parts & Formalities Letter
<input type="checkbox"/> Extension of Time <u>  </u>	<input type="checkbox"/> Terminal Disclaimer
<input checked="" type="checkbox"/> Fee Transmittal (original & copy)	<input type="checkbox"/> Transmittal of Formal Drawings
<input type="checkbox"/> Other: <u>Copy of cited references</u>	<input type="checkbox"/> Transmittal of Publication Fee Due
	<input type="checkbox"/> Transmittal Letter
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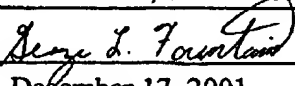
PTO/SB/21 (12/97)


Approved for use through 9/30/2000. OMB 0851-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>		Application No.	09/960,029
		Filing Date	September 20, 2001
		First Named Inventor	Peter Holzmann
		Group Art Unit	
		Examiner Name	
Total Number of Pages in This Submission	31	Attorney Docket Number	42236P068

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition  <input type="checkbox"/> To Convert a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Small Entity Statement  <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 5px;">         PTO/SB/08; copy of cited references       </div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	George L. Fountain, Reg. No. 36,374 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	December 17, 2001

CERTIFICATE OF MAILING/TRANSMISSION			
I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:			
			December 17, 2001
Typed or printed name	Eric Hoover		
Signature		Date	December 17, 2001

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PTO/SB/17 (10-01)

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**FEE TRANSMITTAL  
for FY 2000**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT (\$)****Complete if Known**

Application No.	09/960,029
Filing Date	September 20, 2001
First Named Inventor	Peter Holzmann
Examiner Name	
Group/Art Unit	
Attorney Docket No.	42236P068

**METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: **02-2666**  
 Deposit Account Name: **Blakely, Sokoloff, Taylor & Zafman LLP**

☐ Charge Any Additional Fee(s) Required Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

☐ Applicant claims small entity status. See 37 CFR 1.27.

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

**SUBTOTAL (1) (\$)****2. EXTRA CLAIM FEES**

Total Claims: **34** - \*\* = **8** X **Fee from below** = **Fee Paid**  
 Independent Claims: **8** - \*\* = **8** X **Fee from below** = **Fee Paid**  
 Multiple Dependent: **26** - \*\* = **26** X **Fee from below** = **Fee Paid**

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple Dependent claim, if not paid	
109	84	209	42	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	

**SUBTOTAL (2) (\$)**

\*\*or number previously paid, if greater. For Reissues, see below

**FEE CALCULATION (continued)****3. ADDITIONAL FEE**

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(a)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)****SUBMITTED BY**Name (Print/Type) **George L. Fountain**

Registration No. (Attorney/Agent)

**36,374**

Telephone

**(714) 557-3800**

Signature

*George L. Fountain*

Date

**12/17/01**

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PTO/SB/17 (10-01)

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**FEE TRANSMITTAL  
for FY 2000**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$)

## Complete If Known

Application No.	09/960,029
Filing Date	September 20, 2001
First Named Inventor	Peter Holzmamm
Examiner Name	
Group/Art Unit	
Attorney Docket No.	42236P068

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

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Number

02-2666

Deposit  
Account  
Name

Blakely, Sokoloff, Taylor &amp; Zafman LLP

☐ Charge Any Additional Fee(s) Required  
Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

☐ Applicant claims small entity status.  
See 37 CFR 1.27.

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
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107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1)

(\$)

## 2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below
34	8			

## Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple Dependent claim, if not paid
109	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$)

\*or number previously paid, if greater. For Reissues, see below

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
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141	1,280	241	640	Petition to revive - unintentional	
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144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
189	900	189	900	Request for expedited examination of a design application	

Other fee (specify)

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

## SUBMITTED BY

Name (Print/Type) George L. Fountain

Registration No.  
(Attorney/Agent)

36,374

## Complete (if applicable)

Telephone

(714) 557-3800

Signature

George L. Fountain

Date

12/17/01

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Docket No.: 42236P068

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

PETER HOLZMANN, ET AL.

Application No.: 09/960,029

Filed: September 20, 2001

For: **ANALOG/DIGITAL RECORDING AND  
PLAYBACK SYSTEM AND RELATED  
METHOD**

Art Group:

Examiner:

## INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure under 37 CFR § 1.56 and in accordance with 37 C.F.R. § 1.97, enclosed is a copy of Information Disclosure Citation Form PTO/SB/08. Copies of the references cited on PTO/SB/08 are enclosed herewith. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

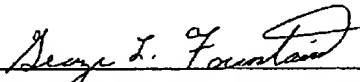
Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any additional fee due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

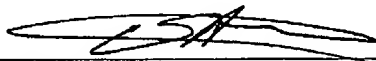
Date: December 17, 2001

  
George L. Fountain, Reg. No. 36,374

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
(714) 557-3800

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Eric Hoover

12/17/01  
Date

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Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete If Known</b>	
				Application Number	09/960,029
				Filing Date	September 20, 2001
				First Named Inventor	Peter Holzmann
				Group Art Unit	
				Examiner Name	
				Attorney Docket Number	42236P068
Sheet	1	of	2		

[illegible][illegible]

Examiner Signature	Date Considered
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\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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PTQ/SB/08B (08-00)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
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Substitute for form 1449A/PTO				<div>Complete if Known</div> <div>Application Number 09/960,029</div> <div>Filing Date September 20, 2001</div> <div>First Named Inventor Peter Holzmman</div> <div>Group Art Unit</div> <div>Examiner Name</div> <div>Attorney Docket Number 42236P068</div>	
<div>INFORMATION DISCLOSURE</div> <div>STATEMENT BY APPLICANT</div>					
Sheet	2	of	2		

[illegible]

Examiner Signature	Date Considered
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\*Unique citation designation number. \*Applicant is to place a check mark here if English language Translation is attached.

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